

03/17/00

JC639 U.S. PTO

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No.

0039-7632-0X

First Inventor or Application Identifier

Hiroyuki YANO, et al.

Title

AQUEOUS DISPERSION, AQUEOUS DISPERSION FOR CHEMICAL  
MECHANICAL POLISHING USED FOR MANUFACTURE OF  
SEMICONDUCTOR DEVICES, METHOD FOR MANUFACTURE OF  
SEMICONDUCTOR DEVICES, AND METHOD FOR FORMATION OF  
EMBEDDED WIRING

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification Total Pages **61**
3. ☒ Drawing(s) (35 U.S.C. 113) Total Sheets **7**
4. ☒ Oath or Declaration Total Pages **4**
  - a. ☒ Newly executed (fax copy)
  - b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))  
(for continuation/divisional with box 15 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named  
in the prior application, see 37 C.F.R. §1.63(d)(2) and  
1.33(b).
5. ☐ Incorporation By Reference (usable if box 4B is checked)  
The entire disclosure of the prior application, from which a copy of the  
oath or declaration is supplied under Box 4B, is considered to be part  
of the disclosure of the accompanying application and is hereby  
incorporated by reference therein.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

## ACCOMPANYING APPLICATION PARTS

6. ☐ Assignment Papers (cover sheet & document(s))
7. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
8. ☐ English Translation Document (if applicable)
9. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
10. ☐ Preliminary Amendment
11. ☒ White Advance Serial No. Postcard
12. ☐ Small Entity Statement(s) ☐ Statement filed in prior application. Status still proper and desired.
13. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
14. ☒ Other: Notice of Priority

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application no.:

Prior application information: Examiner:

Group Art Unit:

16. Amend the specification by inserting before the first line the sentence:

☐ This application is a ☐ Continuation ☐ Division ☐ Continuation-in-part (CIP)  
of application Serial No. Filed on☐ This application claims priority of provisional application Serial No. Filed

## 17. CORRESPONDENCE ADDRESS

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Signature:	<del>MARVIN J. SPIVAK</del> REGISTRATION NUMBER 24,913	Date:	3/17/00
Name:		Registration No.:	

Docket No. 0039-7632-0X

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

INVENTOR(S) Hiroyuki YANO, et al.

SERIAL NO: New Application

FILING DATE: Herewith

FOR: AQUEOUS DISPERSION, AQUEOUS DISPERSION FOR CHEMICAL MECHANICAL POLISHING  
USED FOR MANUFACTURE OF SEMICONDUCTOR DEVICES, METHOD FOR MANUFACTURE OF  
SEMICONDUCTOR DEVICES, AND METHOD FOR FORMATION OF EMBEDDED WIRING

FEE TRANSMITTAL

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	46 - 20 =	26	× \$18 =	\$468.00
INDEPENDENT CLAIMS	12 - 3 =	9	× \$78 =	\$702.00
<input checked="" type="checkbox"/> MULTIPLE DEPENDENT CLAIMS (If applicable)			+ \$260 =	\$260.00
<input type="checkbox"/> LATE FILING OF DECLARATION			+ \$130 =	\$0.00
BASIC FEE				\$690.00
TOTAL OF ABOVE CALCULATIONS				\$2,120.00
<input type="checkbox"/> REDUCTION BY 50% FOR FILING BY SMALL ENTITY				\$0.00
<input type="checkbox"/> FILING IN NON-ENGLISH LANGUAGE			+ \$130 =	\$0.00
<input type="checkbox"/> RECORDATION OF ASSIGNMENT			+ \$40 =	\$0.00
TOTAL				\$2,120.00

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03/17/00

- ☐ Please charge Deposit Account No. 15-0030 in the amount of \_\_\_\_\_ A duplicate copy of this sheet is enclosed.
- ☒ A check in the amount of **\$2,120.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

MARVIN J. SPIVAK

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(OSMMN 11/98)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Hiroyuki YANO, et al.

GAU:

SERIAL NO: New Application

EXAMINER:

FILED: Herewith

FOR: AQUEOUS DISPERSION, AQUEOUS DISPERSION FOR CHEMICAL MECHANICAL POLISHING USED FOR MANUFACTURE OF SEMICONDUCTOR DEVICES, METHOD FOR MANUFACTURE OF SEMICONDUCTOR DEVICES, AND METHOD FOR FORMATION OF EMBEDDED WIRING

REQUEST FOR PRIORITY

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

- ☐ Full benefit of the filing date of U.S. Application Serial Number, filed, is claimed pursuant to the provisions of 35 U.S.C. §120.
- ☐ Full benefit of the filing date of U.S. Provisional Application Serial Number, filed, is claimed pursuant to the provisions of 35 U.S.C. §119(e).
- ☒ Applicants claim any right to priority from any earlier filed applications to which they may be entitled pursuant to the provisions of 35 U.S.C. §119, as noted below.

In the matter of the above-identified application for patent, notice is hereby given that the applicants claim as priority:

<u>COUNTRY</u>	<u>APPLICATION NUMBER</u>	<u>MONTH/DAY/YEAR</u>
Japan	11-074052	March 18, 1999
Japan	11-074561	March 18, 1999
Japan	11-074562	March 18, 1999

Certified copies of the corresponding Convention Application(s)

- ☐ are submitted herewith
- ☒ will be submitted prior to payment of the Final Fee
- ☐ were filed in prior application Serial No. filed
- ☐ were submitted to the International Bureau in PCT Application Number .  
Receipt of the certified copies by the International Bureau in a timely manner under PCT Rule 17.1(a) has been acknowledged as evidenced by the attached PCT/IB/304.
- ☐ (A) Application Serial No.(s) were filed in prior application Serial No. filed ; and  
(B) Application Serial No.(s)
- ☐ are submitted herewith
- ☐ will be submitted prior to payment of the Final Fee

Respectfully Submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

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